



## IAPD Report

### ALEXANDER NORMAN QUINT

CRD# 1012135

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page  
<http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### ALEXANDER NORMAN QUINT (CRD# 1012135)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/24/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	QUINT CAPITAL CORPORATION	CRD# 26586	04/07/2014
<b>IA</b>	QUINT CAPITAL MANAGEMENT	CRD# 26586	04/27/2015

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	SOLDIERS FIRST CAPITAL	321004	NEW YORK, NY	07/15/2022 - 12/31/2022
<b>B</b>	AMERICAN NETWORK SECURITIES CORP.	13750	SUN CITY, AZ	04/11/2013 - 09/18/2013
<b>B</b>	PETERSEN INVESTMENTS, INC.	38537	NEW YORK, NY	11/16/2000 - 02/21/2012

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **QUINT CAPITAL MANAGEMENT**

Main Address: 230 PARK AVE - 361W  
NEW YORK, NY 10169

Firm ID#: 26586

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	04/07/2014
 FINRA	General Securities Representative	Approved	04/07/2014
 FINRA	Operations Professional	Approved	04/07/2014
 FINRA	Compliance Officer	Approved	10/01/2018
 Arizona	Agent	Approved	05/05/2017
 California	Agent	Approved	06/20/2014
 Colorado	Agent	Approved	07/21/2017
 Connecticut	Agent	Approved	05/21/2015
 Connecticut	Investment Adviser Representative	Approved	08/10/2016
 District of Columbia	Agent	Approved	03/16/2022
 Florida	Investment Adviser Representative	Approved	04/27/2015
 Florida	Agent	Approved	04/28/2015
 Georgia	Agent	Approved	02/26/2020



## Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	05/31/2017
B Illinois	Agent	Approved	11/23/2021
B Indiana	Agent	Approved	04/21/2017
B Louisiana	Agent	Approved	07/07/2014
B Maryland	Agent	Approved	11/17/2017
B Massachusetts	Agent	Approved	05/23/2017
B Michigan	Agent	Approved	09/27/2021
B Mississippi	Agent	Approved	10/06/2016
B Montana	Agent	Approved	05/01/2017
B New Hampshire	Agent	Approved	08/16/2017
B New Jersey	Agent	Approved	08/15/2014
IA New Jersey	Investment Adviser Representative	Approved	08/30/2022
B New York	Agent	Approved	07/03/2014
IA New York	Investment Adviser Representative	Approved	03/17/2022
B North Carolina	Agent	Approved	07/24/2017
B Ohio	Agent	Approved	06/17/2016
B Oregon	Agent	Approved	01/19/2022
B Pennsylvania	Agent	Approved	03/22/2016
B Rhode Island	Agent	Approved	04/27/2017



## Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	01/20/2015
B Vermont	Agent	Approved	02/14/2022
B Washington	Agent	Approved	10/27/2022

## Branch Office Locations

**QUINT CAPITAL MANAGEMENT**  
NEW YORK, NY

**QUINT CAPITAL MANAGEMENT**  
230 Park Ave Ste 460  
New York, NY 10169



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 General Securities Principal Examination (S24)	Series 24	10/08/2007

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/19/1981

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	09/30/2013
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/15/1984

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/15/2022 - 12/31/2022	SOLDIERS FIRST CAPITAL	CRD# 321004	NEW YORK, NY
B	04/11/2013 - 09/18/2013	AMERICAN NETWORK SECURITIES CORP.	CRD# 13750	SUN CITY, AZ
B	11/16/2000 - 02/21/2012	PETERSEN INVESTMENTS, INC.	CRD# 38537	NEW YORK, NY
B	10/31/2000 - 11/14/2000	MONTROSE CAPITAL MANAGEMENT LTD.	CRD# 40799	NEW YORK, NY
B	06/27/1997 - 06/20/2000	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	08/20/1992 - 07/02/1997	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	11/01/1983 - 08/21/1992	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	09/26/1981 - 08/06/1982	L. F. ROTHSCHILD, UNTERBERG, TOWBIN	CRD# 501	

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2014 - Present	Quint Capital Corporation	CHAIRMAN OF THE BOARD OF DIRECTORS/CEO/CCO	Y	New York, NY, United States
08/2013 - Present	QUINT CAPITAL LLC	PRESIDENT	Y	NEW YORK, NY, United States
11/2000 - Present	QUINT, MILLER & COMPANY	PRESIDENT	N	NEW YORK, NY, United States
02/2022 - 12/2024	Soldiers First Capital	Chief Investment Officer	Y	New York, NY, United States



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. Quint Capital/NYS Insurance Agency, 230 Park Avenue, Suite 908, New York, NY 10169; Non-investment related. NYS registered insurance agency offering non-securities related insurance products, Owner. Primarily offering employment benefits to employers/employees. Commissions earned. Start Date: 09/2014 to present; Quint Capital Insurance Agency is a subsidiary of Quint Capital Corporation. Approximately 20 Hours per month with about about 10 hours per month during securities trading hours.
2. Fifth Avenue Loft Corporation, 140 Fifth Avenue, New York, NY 10011; Non-investment related. Director on the Board of the Cooperative Apartment at this location. No compensation. Start Date: 06/1994 to current; Approximately 3 hours per month with 0 hours during securities trading hours.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/14/2023
<b>Docket/Case Number:</b>	<a href="#">2021070418202</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Quint Capital Corporation
<b>Product Type:</b>	Debt-Municipal
<b>Allegations:</b>	Without admitting or denying the findings, Quint consented to the sanctions and to the entry of findings that he and his member firm permitted an individual who was subject to a statutory disqualification to associate with the firm and engage in activities requiring registration as a municipal securities representative. The findings stated that Quint was the principal at the firm responsible for supervising the firm's compliance with licensing and registration matters, including matters relating to statutory disqualification. Quint signed and submitted on behalf of the firm a Membership Continuance Application (MC-400 Application) seeking to permit an individual to associate with the firm despite the individual being statutorily disqualified due to a Securities and Exchange Commission (SEC) bar and a federal district court order enjoining the individual from violating various federal securities laws and regulations. FINRA's National Adjudicatory Council issued a notice approving the application for the individual to associate with the firm as a general securities representative (GSR). However, as stated in the notice and in FINRA's letter to Quint and the firm accompanying the notice, the notice would become effective only after the issuance of an order from the SEC stating



that the SEC would not institute proceedings and that it will not direct otherwise. The SEC never issued such an order, and the notice never became effective. At a time when the notice was not effective and the individual was not registered as a municipal securities representative, the firm and Quint nevertheless permitted the individual to associate with the firm and to engage in activities requiring registration as a municipal securities representative. Quint and the firm provided the individual with passwords and access to electronic systems and platforms at the firm to trade municipal bonds. With the firm's and Quint's knowledge, the individual referred four customers, including a married couple, to open accounts at the firm, discussed municipal securities transactions with those customers and effected municipal securities purchase and sale transactions for the customers' accounts. Later, Quint caused the firm to withdraw the MC-400 Application for the individual, and to file a Uniform Termination Notice for Securities Industry Registration (Form U5) terminating the individual's association with the firm.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	02/14/2023
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?</b>	No
<b>(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?</b>	



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** Any Principal Capacity

**Duration:** Five Months

**Start Date:** 03/20/2023

**End Date:** 08/19/2023

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$10,000.00

**Portion Levied against individual:** \$10,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 08/28/2024

**Was any portion of penalty waived?** No

**Amount Waived:****Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 02/14/2023**Docket/Case Number:** [2021070418202](#)**Employing firm when activity occurred which led to the regulatory action:** Quint Capital Corporation**Product Type:** Debt-Municipal**Allegations:** violated Article III, Section 3(b) of FINRA's By-Laws, FINRA Rules 8311 and 2010, and MSRB Rules G-4 and G-5. MSRB Rules G-2 and G-3**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?****Resolution Date:** 02/14/2023**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension**Sanction 1 of 1****Sanction Type:** Suspension**Capacities Affected:** General Securities Principal, Financial Operations Principal, All Capacities,**Duration:** five months**Start Date:** 03/06/2023**End Date:** 08/05/2023**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$10,000.00**Portion Levied against individual:** \$10,000.00**Payment Plan:** Installment plan**Is Payment Plan Current:** Yes**Date Paid by individual:** 02/14/2023**Was any portion of penalty waived?** No



**Amount Waived:**



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	PAIN WEBBER
<b>Allegations:</b>	CLIENT ALLEGES UNSUITABLE RECOMMENDATIONS AND LOSSES OF \$73,000.00
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$73,000.00

## Customer Complaint Information

<b>Date Complaint Received:</b>	03/22/1991
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	01/20/1992
<b>Settlement Amount:</b>	

**Individual Contribution Amount:**

## Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00722
<b>Date Notice/Process Served:</b>	03/22/1991
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	01/20/1992
<b>Monetary Compensation Amount:</b>	\$22,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	PAINWEBBER SETTLED THE MATTER FOR \$22,500.00 NOT PROVIDED



## End of Report

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